

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

ATTN: BOX PATENT APPLICATION

Sheet 1 of 2

**UTILITY
PATENT APPLICATION
TRANSMITTAL**
Docket No.: 02-560
Date: October 20, 2003

22582 U.S. PTO
10/689371



U.S. Express Mail Label No.: EV323569249US

Inventor Name(s):
PENGFEI MA AND ANIL KUMAR R. SHENOY

Title:

A FLOW-CONTROL APPARATUS FOR CONTROLLING THE SWING SPEED OF A BOOM ASSEMBLY

Fee Transmittal Form Attached in Duplicate

Specification and Claim(s) [Total Pages 11]

Drawing(s) [Total Sheets 4]

FORMAL

Declaration [Total Pages 2]

Newly Executed (Original or Copy)

Copy From Prior Application (37 CFR § 1.63(d))

Deletion of Inventor(s) (37 CFR § 1.63(d)(2))
(Signed Statement Attached)

Assignment Papers (Cover Sheet and Document(s))

37 CFR § 3.73(b) Statement (if applicable) Power of Attorney

English Translation Document (if applicable)

Information Disclosure Statement (IDS)/PTO-1449

Copies of IDS Citations

Preliminary Amendment

Return Receipt Postcard (Specifically Itemized)

Certified Copy of Priority Document(s)

Other

--Continue Next Page--

If a Continuing Application

Continuation Divisional Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner: ; and

Group/Art Unit:

Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

Customer Number or Bar Code Label: 719

or

Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

Attorney/Agent: James R. Smith

Registration No.: 41,318

Signature: James R. Smith

Caterpillar Inc.

Date: 10/30/03

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)
770

Complete if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	Pengfei Ma ET AL.
Examiner Name	(Unassigned)
Art Unit	(Unassigned)
Attorney Docket No.	02-560

METHOD OF PAYMENT (check all that apply)

 Check Credit Card Money Order Other None
 Deposit Account

Deposit

03-1129

Account Number

Deposit Account Name

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 750	2001 375	Utility filing fee	770
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)		(\$)	770

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Extra Claims	Fee from below	Fee Paid
Total Claims 15	-20** = 0 x 18 = 0	
Independent Claims 2	-3** = 0 x 86 = 0	
Multiple Dependent		

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2002 9	Claims in excess of 20
1201 84	2001 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	**Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)
		0

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity | Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

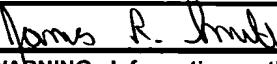
Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$)** **0**

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	James R. Smith	Registration No. (Attorney/Agent)	41,318	Telephone	(309) 636-1569
Signature			Date	10/20/2003	

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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